

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD AND SYSTEM FOR INCREMENTALLY MOVING TEETH** the specification of which is attached hereto or XX was filed on October 10, 1997 as Application No. 08/947,080 and was amended on (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
na			Yes <input type="checkbox"/> No <input type="checkbox"/>
			Yes <input type="checkbox"/> No <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/050,342	JUNE 20, 1997

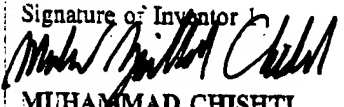
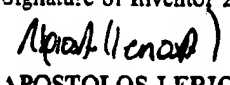
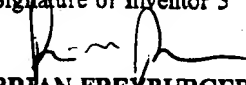
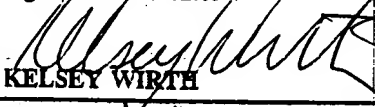
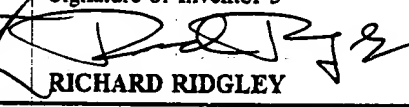
I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
na		<input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned

0929666-042359

Full Name of Inventor 1	Last Name CHISHTI	First Name MUHAMMAD	Middle Name or Initial	
Residence & Citizenship	City MENLO PARK	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 350 SHARON PARK DRIVE, NO. E24	City MENLO PARK	State/Country CALIFORNIA	Zip Code 94025
Full Name of Inventor 2	Last Name LERIOS	First Name APOSTOLOS	Middle Name or Initial	
Residence & Citizenship	City STANFORD	State/Foreign Country CALIFORNIA	Country of Citizenship GREECE	
Post Office Address	Post Office Address QUILLEN 10C, ESCONDIDO VILLAGE	City STANFORD	State/Country CALIFORNIA	Zip Code 94305
Full Name of Inventor 3	Last Name FREYBURGER	First Name BRIAN	Middle Name or Initial	
Residence & Citizenship	City PALO ALTO	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 1065 MIDDLEFIELD ROAD	City PALO ALTO	State/Country CALIFORNIA	Zip Code 94301
Full Name of Inventor 4	Last Name WIRTH	First Name KELSEY	Middle Name or Initial	
Residence & Citizenship	City MENLO PARK	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 350 SHARON PARK DRIVE, NO. E24	City MENLO PARK	State/Country CALIFORNIA	Zip Code 94025
Full Name of Inventor 5	Last Name RIDGLEY	First Name RICHARD	Middle Name or Initial	
Residence & Citizenship	City LOS ALTOS	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 1230 GROMWALL COURT	City LOS ALTOS	State/Country CALIFORNIA	Zip Code 94024
Full Name of Inventor 6	Last Name ///	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  MUHAMMAD CHISHTI	Signature of Inventor 2  APOSTOLOS LERIOS	Signature of Inventor 3  BRIAN FREYBURGER
Date 3/17/98	Date 3/17/98	Date 3/19/98
Signature of Inventor 4  KELSEY WIRTH	Signature of Inventor 5  RICHARD RIDGLEY	Signature of Inventor 6 ///
Date 3/17/98	Date 7/20/98 7/31/98 REC	Date

DEC-6.MRG 3/98
PADATA\PA2\PTODVMH.13\391

05290268-042399

POWER OF ATTORNEY BY ASSIGNEE

ALIGN TECHNOLOGY, INC., 2991 El Camino Real, Suite 210, Redwood City, California 94061 is the Assignee of the invention entitled:

METHOD AND SYSTEM FOR INCREMENTALLY MOVING TEETH

The specification of which is attached hereto or XX was filed on October 8, 1997 as Application No. 08/947,080.

The Assignment accompanying this Power of Attorney has been reviewed by the undersigned. The undersigned certifies that to the best of the undersigned's knowledge and belief, title is in the Assignee. The undersigned (whose title is supplied below) is empowered to act on behalf of the Assignee.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

James M. Heslin, Reg. No. 29,541
Gary T. Aka, Reg. No. 29,038
Robert C. Colwell, Reg. No. 27,431
Paul C. Haughey, Reg. No. 31,836
David N. Slone, Reg. No. 28,572
William M. Smith, Reg. No. 30,223
Renee A. Fitts, Reg. No. 35,136
Lorie A. Morgan, Reg. No. 38,181

Darin J. Gibby, Reg. No. 38,464
Mark D. Barrish, Reg. No. 36,443
Joe Liebeschuetz, Reg. No. 37,505
James F. Hann, Reg. No. 29,719
Randolph T. Apple, Reg. No. 36,429
John R. Storella, Reg. No. 32,944
Margaret A. Powers, Reg. No. 39,804
Hao Y. Tung, Reg. No. P43,209

Send Correspondence to:
James M. Heslin, Esq.
TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, CA 94111-3834

Direct Telephone Calls to:
James M. Heslin, Esq.
Reg. No. 29,541
650/326-2400

ALIGN TECHNOLOGY, INC.

Date: 7/28/98

By: Kelsey Wirth
Title: President

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

Applicant or Patentee: MUHAMMAD CHISHTI et al.

Application or Patent No.: 08/947,080

Filed or Issued: October 8, 1997

Title: METHOD AND SYSTEM FOR INCREMENTALLY MOVING TEETH

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: ALIGN TECHNOLOGY, INC.

Address of Small Business Concern: 2991 El Camino Real, Suite 210
Redwood City, California 94061

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND SYSTEM FOR INCREMENTALLY MOVING TEETH by inventor(s) MUHAMMAD CHISHTI, APOSTOLOS LERIOS, BRIAN FREYBURGER, KELSEY WIRTH & RICHARD RIDGLEY described in:

- ☐ the specification filed herewith.
☒ Application No. 08/947,080, filed October 8, 1997
☐ Patent No. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name ///
 Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name _____
 Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Kelsey Wirth
 Title of Person if Other than Owner: President
 Address of Person Signing: 2991 El Camino Real, Suite 210
Redwood City, California 94061

Signature _____

Date 7/28/98



TOWNSEND & TOWNSEND
& CREW

18563-00011045
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SR/K

DECEMBER 10, 1998 98 DEC 15 AM 10:16
PTAS

TOWNSEND AND TOWNSEND AND CREW LLP
JAMES M. HESLIN
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CALIFORNIA 94111-3834



100805228A



UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION
OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/17/1998

REEL/FRAME: 9410/0375
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
CHISHTI, MUHAMMAD

DOC DATE: 03/17/1998

ASSIGNOR:
LERIOS, APOSTOLOS

DOC DATE: 03/19/1998

ASSIGNOR:
FREYBURGER, BRIAN

DOC DATE: 03/19/1998

ASSIGNOR:
WITH, KELSEY

DOC DATE: 07/20/1998

ASSIGNOR:
RIDGLEY, RICHARD

DOC DATE: 07/20/1998

ASSIGNEE:
ALIGN TECHNOLOGY, INC.
2991 EL CAMINO REAL, SUITE 210
REDWOOD CITY, CALIFORNIA 94061

9410/0375 PAGE 2

SERIAL NUMBER: 08947080
PATENT NUMBER:

FILING DATE: 10/08/1997
ISSUE DATE:

JOANN STEWART, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

MRD 8-17-98 O I P E

09-02-1998

Attorney Docket No. 18563-00011

FORM PTO-1595
(Rev. 6-93)

AUG 17 1998

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents & Trademarks, 100805228 documents or copy thereof.

1. Name of conveying party(ies):

MUHAMMAD CHISHTI, APOSTOLOS LERIOS,
BRIAN FREYBURGER, KELSEY WIRTH
& RICHARD RIDGLEY

2. Name and address of receiving party(ies):

Name: ALIGN TECHNOLOGY, INC.

Internal Address:

Street Address: 2991 El Camino Real, Suite 210

City: Redwood City State: California ZIP: 94061

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Dates: 3/17, 3/19 & 7/20/98

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/947,080

B. Patent No.(s)

08/21/1998 DALEXND 00000053 201430 08947080

Additional numbers attached? ☐ Yes ☒ No

05 FC:581 40.00 CH

05 FC:581 40.00 CH

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: JAMES M. HESLIN
TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(650) 326-2400

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Hao Y. Tung

Name of Person Signing

Signature

AUGUST 13, 1998

Date

Atty. Reg. No. P43,209

Total number of pages including cover sheet, attachments, and document: 3

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Do not detach this portion

Asst. Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, MUHAMMAD CHISHTI of 350 Sharon Park Drive, No. E24, Menlo Park, CA 94025; APOSTOLOS LERIOS of Quillen 10C, Escondido Village, Stanford, CA 94305; BRIAN FREYBURGER of 1065 Middlefield Road, Palo Alto, CA 94301; KELSEY WIRTH of 350 Sharon Park Drive, No. E24, Menlo Park, CA 94025; and RICHARD RIDGLEY of 1230 Gromwall Court, Los Altos, CA 94024, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: METHOD AND SYSTEM FOR INCREMENTALLY MOVING TEETH

Date(s) of execution of Declaration: 3/17, 3/19, & 7/31/98

Filing date: OCTOBER 8, 1997 Application No.: 08/947,080 ; and

WHEREAS, ALIGN TECHNOLOGY, INC. a Delaware corporation, located at 2991 El Camino Real, Suite 210, Redwood City, California 94061, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Date: 3/17/98

Muhammad Chishti
MUHAMMAD CHISHTI

Date: 3/17/98

Apostolos Leros
APOSTOLOS LEROS

Date: 3/19/98

Brian Freyburger
BRIAN FREYBURGER

Date: 3/17/98

Kelsey Wirth
KELSEY WIRTH

Date: 7-20-98

Richard Ridgley
RICHARD RIDGLEY

ASGN. 1185 98
F. 047. 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 11. 12. 13. 14.